

**PATENT**

(Practitioner's Docket No. IN-5487 )

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Joseph F. MICHALEC  
Swaminathan RAMESH  
Paul J. HARRIS

US Serial No. Herewith

Filed: September 25, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: POLYMERIC PIGMENT DISPERSANT UTILIZED AS A GRIND RESIN FOR  
PIGMENTS AND METHOD OF PREPARING THE SAME

Assistant Commissioner of Patents  
Washington, D.C. 20231

1c971 U.S. PTO  
09/963951  
09/25/01

*L. F. 10/2/01*

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g) ), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

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☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ], filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

**FOREIGN LANGUAGE DOCUMENTS**

- ☐ There are no foreign language documents listed on Form PTO-1449.
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

Information Disclosure Statement  
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- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$230.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:

- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,

  
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Atty. docket No. IN-5487

Serial No. Herewith

Applicant(s) Michalec et al.

Filing Date September 25, 2001

Group

Jc971 U.S. PTO  
09/963951**LIST OF ART CITED BY APPLICANT**  
(Use sever of sheets if necessary)**U.S. PATENT DOCUMENTS**

| Examiner<br>initial |    | DOCUMENT NUMBER | DATE    | NAME                   | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|---------------------|----|-----------------|---------|------------------------|-------|----------|-------------------------------|
|                     | AA | 5,603,865       | 2/18/97 | DePue et al.           | 252   | 313.1    | 8/17/95                       |
|                     | AB | 5,684,078       | 11/4/97 | Pfaffenschlager et al. | 524   | 457      | 10/2/92                       |
|                     | AC | 5,389,139       | 2/14/95 | Carpenter et al.       | 106   | 404      | 2/14/94                       |
|                     | AD | 5,629,374       | 5/13/97 | Budde et al.           | 524   | 549      | 5/3/95                        |
|                     | AE | 5,786,420       | 7/28/98 | Grandhee               | 525   | 7        | 7/26/96                       |
|                     | AF |                 |         |                        |       |          |                               |
|                     | AG |                 |         |                        |       |          |                               |
|                     | AH |                 |         |                        |       |          |                               |
|                     | AI |                 |         |                        |       |          |                               |
|                     | AJ |                 |         |                        |       |          |                               |
|                     | AK |                 |         |                        |       |          |                               |

**FOREIGN PATENT DOCUMENTS**

| Examiner<br>initial |    | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|---------------------|----|--------------------|------|---------|-------|----------|-------------|----|
|                     | AL |                    |      |         |       |          | YES         | NO |
|                     | AM |                    |      |         |       |          |             |    |
|                     | AN |                    |      |         |       |          |             |    |
|                     | AO |                    |      |         |       |          |             |    |
|                     | AP |                    |      |         |       |          |             |    |
|                     | AR |                    |      |         |       |          |             |    |
|                     | AS |                    |      |         |       |          |             |    |

**OTHER ART** (Including Author, Title, Date, Pertinent Pages, Etc.)

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|  | AT |  |
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|  | AU |  |
|  |    |  |
|  | AV |  |
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EXAMINER

DATE CONSIDERED

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".